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ABSTRACT

Designed to help bring students to greater understanding of concepts of the introduction to psychology and leadership course (see the final reports which summarize the course development project, EM 010 418, EM 010 419, and EM 010 484), this Structural Communications unit is coordinated with the instructional unit in the core course on concepts of leadership (EM 010 420, EM 010 451, and EM 010 501). The basic strategy of the unit is to have the student work through the central theme which dominates problems presented in a brief series of modules. Each successive module refers to a matrix of statements which the student examines for relevance to the problem being considered. The unit can be used either individually or in a group setting, and was designed so that the end product would be a student with a more complete grasp of the elements of the theme and their interaction. EM 010 420 through EM 010 447 and EM 010 451 through EM 010 512 are related documents. (SH)

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INTRODUCTION TO PSYCHOLOGY AND LEADERSHIP

MAY 1971

ENRICHMENT I

CONCEPT OF LEADERSHIP

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Westinghouse Learning Corporation
Annapolis Division
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INTRODUCTION TO PSYCHOLOGY AND LEADERSHIP

ENRICHMENT I

CONCEPT OF LEADERSHIP

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Enrichment Modules 1, 2, 3

A Structural Communication Unit
prepared for Westinghouse Learning Corporation
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Annapolis, Maryland

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Orientation

This Structural Communication Unit, CONCEPT OF LEADERSHIP, is designed to be used only after Part One, "Overview of Leadership," of the course, INTRODUCTION TO PSYCHOLOGY AND LEADERSHIP, has been completed.

Each module is oriented towards discussion and is designed to be used for individual instruction. By working through these modules the student will gain confidence in his mastery of the concepts previously introduced to him. He will also be able to develop his own ideas and understand different points of view.

The feedback from the authors does not confirm the correct answer, though the authors do indicate the items they use in their interpretations. Each student is encouraged to develop his own interpretation of the case studies according to his knowledge and point of view.

Organization of the Unit

Each module is divided into the following sections:

INTENTION. This serves as an introduction. It briefly describes the theme which the authors intend to communicate. It also summarizes the rationale for the approach, method and viewpoint.

PRESENTATION. This presents the scope of the discussion, giving an outline of the main and subsidiary themes.

INVESTIGATION. This section explores the theme in greater depth, and introduces a set of PROBLEMS. By working through the problems, the student will have his attention focused on the more subtle points in the theme, enabling him to develop his understanding of it. Included in this section also are the DISCUSSION COMMENTS and INTERPRETATIONS which provide feedback to guide the student through the problem.

RESPONSE INDICATOR. This is a matrix of items, all of them relevant to the theme as a whole. The student uses these items to solve the problems in the Investigation, and they provide a basic vocabulary for the student to interact with the authors and to 'talk back' to the authors of the Unit. Different sets of these items can be used to give adequate expression of different viewpoints on, or interpretation of the problems.

Procedure

Instructions about specific activities are given to the student in the body of the text.

The student should commence work on the Unit by reading the Intention and Presentation sections. The student may refer back to the Presentation at any stage of the Investigation. He should next work on the Investigation with its problem situations according to the following procedure:

INVESTIGATING THE PROBLEM

The student should read the problem and make an individual response.

The student categorizes all items on the Response Indicator according to given criteria ranging from highly significant to irrelevant. The Discussion Section takes the form of an Interpretation or Analysis in which the authors group all the items into various categories and give their rationale. The student evaluates his response by comparing his interpretation with that of the authors.

The Discussion Section serves as a further stimulant to the student. It also acts as a bridge between the student and the authors of the material. It is the device for channeling more information to the students in order to clarify more complex aspects of the problems than the student may have been aware of in his individual response. It also exposes them to another point of view. The student should consider the bearing of this section on his response, and make a second selection if desired.

Each module can be adequately discussed with a number of possible combinations of items selected from the Response Indicator. The student can start with a small combination of items and build up a more complete picture by adding to it. Or he can make a broad attempt by including more general selections, review them, and reject some items. If he has no firm ideas on what to select, he can try anything at random, and then see if the Discussion helps him to make some sense of the problem. He should review his selection not just for what each item signifies, but to see what the items taken together signify. He should check that there is no internal

contradiction between them, and that as a whole they represent a set of coherent interdependencies.

THE DIAGNOSTIC PROCEDURE

THE NOTATION FOR THE TESTS WORKS LIKE THIS:

When a test is written - I_2 (1, 2, 4, 6, 8, 10) -

it means: "If you INCLUDED TWO or more (I_2) of items 1, 2, 4, 6, 8, 10, then read the comment below."

I refers to Inclusion (of items #....)

O refers to Omission (of items #....)

The numerical subscript refers to the count of items involved:

I_2 inclusion of TWO or more

O_3 omission of THREE or more, and so on.

The numbers in parentheses are the references numbers of items on the Response Indicator included or omitted.

Thus -

I_1 (2, 12, 20) and

O_3 (1, 3, 5, 6, 7)

means -

if you have INCLUDED one or more of response items 2, 12, 20 and OMITTED three or more of items 1, 3, 5, 6, 7 read the following comment.

(1) Look at the first test to see if it bears on your response. If it does, then read the comment below the test. If it does not, continue looking until you find a test that does bear on your response.

Example:

I_2 (1, 2, 4, 6, 8, 10)

"What you say is quite valid, but we would like to make the following points. When the Japanese attacked Pearl Harbor ....."

(2) When you have read a comment, review your response and the decisions which led you to it comparing your reasoning with that of the authors. Then look for the next appropriate comment.

(3) Continue this process until you come to the end of the DISCUSSION. You may not have changed your reasoning and may be in disagreement with the authors, but you should make sure that you understand the significance of the authors' remarks.

CONCEPT OF LEADERSHIP

INTENTION

In trying to understand the reality of leadership we must pay attention to each of the three elements: leader, group and situation. However, not one of these considered by itself can be an adequate qualification of leadership. In considering one by itself we put out of our thoughts the other components and produce an unreal situation, a meaningless abstraction. But we can look for and thus conceive the characteristic that distinguishes each of the three elements and prevents them from merging amorphously into each other.

In different moments, any one of the three components can initiate the demand which sets things in motion: the command of the leader, the wishes of the group of followers, or the required action itself. What a leader is may appear different at each of these moments. But we are concerned with understanding not what a leader is, but what we mean by the concept of leadership.

PRESENTATION

The leader can be characterized by authority. It is through the leader that command is channeled. The person who plays the role of leader may also act as part of the group; but the group looks to the leader to provide direction, force and authority. The leader's involvement in the group and situation is characterized in terms of the totality of the three elements.

The group of followers is then characterized as the field of action. There is no leading without 'the led'. It is amongst the followers that leading is enacted. Being such a field of action, the group of followers bring into play interactions and subjectivities which resist mechanical obedience. Thus the group ultimately has the power to resist blind force and unreasonable demands. Even the most autocratic ruler derives his power from the people.

What brings the leader and the led into meaningful connection is the situation, which we can define as the "action required." In other words, there is an objective intention which exists in and is shared by both the leader and the led. Thus we see how the three components of leadership are integrated.

The above statements are indications of the most general principles pertinent to leadership. To reach a more specific understanding of leadership we need to do some thinking. The INVESTIGATION and DISCUSSION which follow have been prepared to instigate this.

INVESTIGATION

We want to think about the similarities and differences between military and non-military leadership and bring these into focus. First, however, we should take a look at non-military leadership in order to clear the ground. Such leadership is not all the same, but the most typical kind of civilian leadership is in management as opposed to political, artistic or scientific leadership.

The problems we are going to discuss are based on different sets of characteristics, but they all reflect the same conceptual triad of "leadership" -- leader-group-situation. Module 1 concerns the manager and leadership of a civilian organization. Module 2 discusses leadership of randomly formed groups in times of civil disruption. In Module 3, we come to Naval Leadership.

Different forms of leadership naturally arise in different situations. Though both the naval and managerial leaders deal with an outgoing process needing directions and regulation, and the cooperation of those under them, the manager has certain constraints on his sphere of influence. He has few powers of punishment, and his primary objective is to get results, i.e., productivity and profits. He is a "leader" only in his working hours. The naval leader, on the other hand, identifies with and represents a much broader organization - the Navy itself, and there are no time constraints on the exercise of leadership by the naval leader. The case of the riot leader is different as he is ruled by the situation which spawns him. We are going to investigate how the leader is the "man-ahead," what relationships he has with followers, how the situation puts him ahead, and so on. Though a leader in any one of the three cases may be "good" or "bad" according to the needs of the situation, the discussion in this unit will not be concerned with passing any value judgments.

Module 1, page 10, concerns leadership in a civilian or organization. Module 2, page 22, concerns leadership of randomly formed groups. Module 3, page 30, concerns Naval Leadership.

The RESPONSE INDICATOR contains 24 statements bearing on leadership situations. For each of the three cases presented to you - management leadership, riot leadership and naval leadership - you will be asked to choose those statements which best sum up their leadership characteristics.

Do not choose more than 10 statements for any one case. What we are searching for is a kind of prescription setting out the components of the leadership situation. For instance, somebody looking at your selection of statements for managerial leadership who knows the subject should be able to say: "This is about management."

Proceed now to the Module you desire to complete.

CONCEPT OF LEADERSHIP

Module One: Leadership In A Civilian Organization

MODULE ONE

The modern manager at a high level in a large corporation can have thousands of subordinates under him, and no one can doubt the complexity facing him and the responsibility incumbent upon him. The manager of even the smallest firm has to face a certain degree of complexity and responsibility.

The highest level of leadership in management is that of Chief Executive Officer, on a parallel with a Flag Officer. This type of manager in a corporation is appointed to office by the Board of Directors based on past history and ability. Similarly, the Flag Officer reaches that position by being competitively selected over a period of years by those senior to him before promotion. In either case the field of action comprises a group of subordinates who, in their turn, have executive power or authority of a lower degree. At the lower level of leadership in the large corporation echelon, and characteristic of the general manager of a very small firm, is the manager who has direct authority over the workmen in the plant, for example. Similarly, it is through the Junior Officer that command over the men is channeled. Nevertheless, whatever the level of the manager or officer, "Leadership" is still defined by the *leader-group-situation* triad.

You should remember that what you are after is an *objective prescription* that can serve to build up a coherent picture of *managerial-leadership*.

REFER TO THE RESPONSE INDICATOR AND MAKE YOUR FIRST SELECTION. AFTER COMPLETING YOUR SELECTION, TURN TO PAGE 12 AND PROCEED THROUGH THE DISCUSSION SECTION.

DISCUSSION

[I-1] I_3 (4, 5, 11, 14, 17, 22, 23)

You are really off the beam. We have some homework to do in establishing some common ground between us. You should study the following passage, defining management. It should help you to bring managerial leadership into focus - though it will not tell you what to include or exclude in your response. After studying the passage, revise your response.

"A social process entailing responsibility for the effective (or efficient) planning and regulation of the operations of an enterprise, such responsibility involving- (a) the installation and maintenance of proper procedures to ensure adherence to plans and (b) the guidance, integration and supervision of the personnel comprising the enterprise and carrying out its operations." (E.F.L. Brech *Management: Its Nature and Significance*).

[I-2] O_2 (10, 12, 16, 21, 24)

Review what is meant by the *managerial functions*. Outside of any considerations of *formal authority*, there are behavioral components of managerial leadership which contribute towards the structuring of group behavior, and without these the manager does not exist.

[I-3] I_3 (3, 13, 15, 18, 19, 24)

Part of your response has to do with the level of authority that the manager has over his subordinates. Remember, however, that here is a civilian situation which has no overall allegiance to national goals, and rarely, if at all, involves issues affecting the lives of people. The manager does not as a rule command his subordinates. We quote from *The Reality of Management* by Rosemary Stewart:

"...the manager controls what is done by checking performance against the plans. Drucker uses the word 'measurement' instead of 'control'. This is not just a synonym for it suggests a shift in emphasis from seeing the orders are obeyed, to setting objectives and providing the yardsticks for self-control. The idea of control as something imposed upon one's subordinates is replaced by the idea of guidance and the establishment of standards."

In many ways, the situation in management is freer for both the subordinates and the leader than it is in the Navy. But, most people like, at least in part, to have a strict frame of reference. When this is lacking, as in a great deal of management, automatisms based on self-protection are established which inhibit initiative and the sharing of responsibility. The relative freedom involved in modern managerial leadership is needed for a context of innovation and change, but it carries its own price. Bear these considerations in mind in determining what is of primary and what is of secondary significance in your objective prescription.

Determine whether any of the items of this group [I-3] you have included are valid.

[I-4] O_1 (3, 15)

You should remember that in managerial leadership there is a formal system of appointment: a manager attains his position through appointment by a superior. There is an hierarchical organization with graduations of remoteness from the "doer" level. This means that the majority of managerial leaders are both subordinates and leaders.

[I-5] I_2 (13,18,19,24)

Issuance of instructions by the leader with the comment "...and that's an order!", though rare in both the military and management situations, does have a different connotation in each case. Opposition to power of command in the military is illegal, while in management it is simply "unacceptable." It is, however, perhaps even less likely for a manager to reach the point where he says this, due to the nature of the activities undertaken in the civilian situation. Battle conditions, for example, do not occur. To a large extent management is an ongoing operation involved in cycles of activity characterized by continuity and overall change. While the military leader may have to deal with administrative work, he is also trained to be on the alert for 'critical incidents'. Many military operations involve missions with a beginning and an end. Of course, such self-contained events do occur in the life of management and the managerial leader must meet these crises with resourcefulness. In these circumstances *commanding action* would often be appropriate. However, these are not in the normal course of managerial expectations.

In ordinary circumstances, then, how does the manager *lead?* What is essential to his effectiveness?

Remember we are concerned with establishing a *normative* prescription and should put aside instances in which laziness and isolationism are dominant. However, we do not want to put forward a biased picture concerning the relevance of formal authority. Here is a short passage from *The Reality of Management* by Rosemary Stewart which brings forward some interesting points:

"Recently, doubts have been expressed about the feasibility of democratic leadership in industry. Partly because of the hierarchical structure of industry and partly because it is harder to be democratic in an organization where some of the power lies outside, as is done in business, where customers and the government can, and do, exert pressure."

Decide on revisions to your response.

[I-6] O_1 (2, 6, 8)

Though the 'human relations' approach originated in industry about half a century ago, it is still a subject of controversy. That the individual should be cared for is universally agreed, but *how* this should be done, without falling into the ridiculous extremes of abandoning the profit motive or adopting a suspicious paternalism is passionately argued. Part of the difficulty is that people employed in a civilian job are not wholly involved in that job; activities and goals other than those of the organization for which they work also claim their allegiance. The decisions of their managerial leaders affect only the way they work and the corresponding responsibility is limited.

However, it is important to realize that in recent years the recognition that every person has a need for self-respect has begun to change the way in which jobs are structured - in particular reversing the tendency to reduce the complexity and responsibility of jobs to a minimum. It seems that people respond better to having a challenge in their work than to financial incentives alone.

Douglas McGregor ('Changing Patterns in Human Relations,' *Conference Board Management Record*, Vol. 12, No. 9, September 1950) says that management's task is "to create conditions which will generate active and willing collaboration among all members of the organization - conditions which will lead people to *want* to direct their efforts towards the objective of the enterprise .... (management needs to create) such conditions that efforts directed towards the objectives of the enterprise yield genuine satisfaction."

Now decide whether you will change your response or not, and to what degree.

[I-7] I_1 (7, 20)

These are some optional points. The qualities a managerial leader has are important. It is known that certain managers 'succeed' by authoritarian behavior and others'succeed' by democratic behavior. Here is a passage to illustrate the idea:

"It seems to me that the kind of organization required for 'arrival' is different from that which is subsequently required to ensure the survival of the already arrived. It is certainly true that small businesses have the highest 'arrival potential' value as measured by the idea of growth of which they are capable. It is equally true that large businesses have a higher survival value than small.

"A management which aims to arrive must have as its main asset a leader with an *idee fixe* and a ruthless determination to succeed. A management which aims to survive must possess an executive which will prevent first degree mistakes and which will create the kind of climate in which the right things tend to happen at operational executive levels."
(H.P. Barker, paper for a *London School of Economics Seminar*, May 18, 1948.)

Each person leads best in different ways according to his own nature and pattern; but, common to all ways is the necessity to gain the confidence of his followers. Nearly every manager faces the problem of instilling a sense of significance into the civilian job. In paternalistic Japan, organizations have the nature of benevolent dictatorships, in which belonging to the great family is sufficient satisfaction. In the West, however, belongingness is fragmented by personal ambition, and neither belongingness nor ambition is conducive to intelligent commitment to progressive activities. The lack of sense of significance in the action of organizations - other than blind self-perpetuation or equally blind competition - has led many higher level managers to see a true rationale and source of purpose only in objective service to the community.

You will have to decide whether the statements in items 7 or 20 really describe an <u>intrinsic</u> component of management.

[I-8] I_1 (10, 16)

Fine. These are obviously referring to two of the managerial functions - planning and organizing. Note that these may sometimes involve very little direct interaction between the leader and his subordinates. Read the next comment.

[I-9] O_1 (10, 16)

Read the comment above. You may have regarded this managerial function as too extraneous to the leadership situation to be included in the group of primary acts. The point is arguable. Any leader has a wider sphere of knowledge and contacts than his subordinates, and part of his task is to bring this wider world into meaningful connection with the world of his subordinates.

When we consider the direct contact between leader, followers and situation, we are looking at the *relationship* involved. When we go on to think of the *activities* in which leader and group share, then we enlarge our framework of thinking to involve planning and organizing as the necessary complement of directing and controlling.

[I-10] I_3 (10, 18, 19, 21, 24)

What you say is quite valid, but we would like to make the following comment. In recent years, the notion of management by objectives is generally accepted as imperative for the control of any human activity. Although in many instances the formulating of appropriate objectives and the criterion for assessing their accomplishment creates quite a headache - language and information systems being what they are at present. Psychologically, however, the issue is clear. Every person involved in an organized activity needs to have before him objectives which he can understand and which provide a focus for his efforts: these efforts being integrated in accordance with an overall objective. What is difficult, still, to pin down into formulations is the *cooperation* required to enable adjustments to take place as an activity proceeds, so that there is adaptation to external impacts, random occurrences, internal "noise" and fluctuations of enthusiasm or interest. In this respect, Douglas McGregor (*Conference Board Management Record*, September 1950) said: *"People often expend more energy in attempting to defeat management's objectives than they would in achieving them.* The important question is not how to get people to expend energy, but how to get them to expend it in one direction rather than another."

[I-11] O_1 (8, 12, 18, 21, 24)

The items enumerated with regard to this comment should be carefully considered together. They constitute the core of managerial leadership, a core which the military officer also possesses. The core can be said to consist essentially of "getting the job done well." Setting up cooperation, checking on work, providing short-term objectives, explaining assignments - these are to the end of integration of effort. There is an important reciprocal relationship in that the manager himself is subject to correction from a higher level, and to the public.

If we concentrate on this aspect of managerial leadership, we can become aware of the two-fold action required, each side of which seems to contradict the other. On the one hand, the manager has to efface himself before the action required, the job to be done. On the other hand, the manager has to *use himself* to the utmost in order to produce the requisite coherence and direction in the action of the group under him.

Should a leader sell himself to his subordinates by means of himself? It very much depends on the action required, and on where and under what circumstances.

[I-12] I (7)

It is true that a manager who does not "know his stuff" will hardly create confidence in his subordinates, and their work will suffer. There is demanded of the manager a wider range of comprehension than that demanded of his subordinates. However, the ability that really matters is that of making decisions when they are needed and steering things in the right direction - not expertise in the activities of the group.

[I-13] I_1 (4, 5, 14, 22)

We would question the inclusion of such items in the context of contemporary management; but in a time of change, certain features remain in one region while they have vanished from others. Personality and privilege play an increasingly smaller role. This has meant, in its turn, that a greater proportion of people have to be capable of decision-making and adaptability than ever before. We are also learning that the mechanisms of organizational systems left uncontrolled by human judgment lead to mass conditioning or chaos.

In pioneering work, in research or innovation, personal touch and vision are essential. These are conditions in which formal ('mechanistic') organization breaks down and it is a matter of men following men. Only in such a context would the above items be applicable.

[I-14] I (9)

How far an individual manager can adjust is a moot point. On the whole, there tend to be those managers who are highly directive - that is, individually forceful and single-minded - and, as a separate kind, those who are more comfortable as members of a group. What *is* an important characteristic of the good manager is what is known as *tolerance of ambiguity* - that is, the capacity to bear with uncertainty in situations.

BEFORE YOU TURN TO PAGE 20 TO STUDY THE INTERPRETATION, FINALIZE YOUR RESPONSE REMEMBERING NOT TO USE MORE THAN 10 OF THE 24 RESPONSE ITEMS.

AN INTERPRETATION

We give you a resume of the thinking incorporated in the Discussion Comments. Notice that we use just 10 items. Compare your own final response with what is written below and note points of disagreement. The Discussion Comments argued for the following response selection:

items 2, 3, 8, 10, 12, 15, 16, 18, 21, and 24

The statements that follow qualify items for their joint significance. Items which are mutually relevant to the argument are stated as included, and those which therefore become logically irrelevant because of the reasoning in the support statements are stated as omitted.

Include 3, 15)
Omit 11, 13)

The formal structure of authority establishes who should take what kind of decision. Higher managers take bigger decisions, and are accountable for them to superiors.

Include 24)
Include 18)

The ongoing performance of a manager is subject to review. In his turn he checks and reviews the work of his subordinates.

Include 10,16,18,21)
Omit 5, 14)

The manager sets objectives, plans and checks for his subordinates. He need not be able to do their work. This is especially true in complex technological organizations and businesses needing special high quality skills. Then communication becomes a problem.

Include 8, 12)
Omit 4)

Democratic values are now inseparable from business organization in the West. Especially in the USA each individual claims a certain status for himself, and will go out to get it by hard work, allegiance to a union with its financial upgrading, or whatever. The basic motivational tool is persuasion linked to self-image.

However, it takes a very good manager to effectively utilize informal group structures. Only in recent times have they been acknowledged as an integral part of work.

If in 8 out of the 10 items you are in agreement with us, we are communicating pretty well. If not, perhaps the next problem will bring us into contact. *We do not want to suggest that there is one right interpretation.* You may have ideas which you still believe are important and valid.

CONCEPT OF LEADERSHIP

Module Two: Riot Leadership

MODULE TWO

Civilian life sometimes borders on the military at times of crisis and the breakdown of order. When rioting flares up - as it does every day somewhere in the world - groups of people coalesce into destructive units at the head of which one can sometimes find a *leader*. There is a kind of leadership in such situations that should be understood. Men who lead randomly-formed violent groups have at times been men of stature moved to action by moral indignation. We are not concerned with moral issues or questions of social order in their own right. We are concerned here with finding an *objective prescription* for *riot leadership*. Remember that such leadership may involve facing death or the death of one's followers - just as Naval leadership may.

REFER TO THE RESPONSE INDICATOR, AND MAKE YOUR SELECTIONS BEFORE YOU TURN TO PAGE 24.

DISCUSSION

[II-1] I_3 (3, 6, 10, 16, 17, 18, 19, 23, 24)

Certain important features of leadership are significantly absent in the riot situation. The situation of the riot is one of extreme *identification*. Identification is the state in which the human being is not able to observe and assess his behavior in the same moment as it occurs. To a certain degree, most people are identified nearly all their working time - identified with thoughts, emotional states, other people or even objects - but the degree of identification fluctuates sufficiently to allow most people at least the opportunity for objective self-assessment. In the midst of a riot, people are totally the collective mass; there is no individuality and no discrimination. The term "riot" is of course vague, but we mean it in the sense of a spontaneous uprising of a group of people *out of formal control*.

In revolutions or mass movements, collective identification is apparent also. Here the identification can involve self-sacrifice and allegiance to supra-personal goals - goals above and beyond the person. But if we look to the riot as such, the sense of supra-personal significance becomes attenuated and can be disregarded.

[II-2] O_1 (4, 21)

There can be two mutually reinforcing tendencies in a riot group. On the one hand, the immediacy of objectives and rewards - "smash that window, loot that shop"- and on the other, identification with the man who urges them to such acts. Only so far as the riot leader *follows* the destructive urges of the riot group will he remain "in command." He must give the people what they want.

Here we have an extreme example of how the leader is conditioned by his followers. In many mass movements it has been the image people had of the leader that has dominated over the leader himself, turning him from master into slave.

Any leader, in any situation, needs to be *ahead* of his followers, and in full grasp of the probable course of action under the given circumstances. The riot leader may emerge momentarily on account of his loud voice and initiative action. But the specialized riot leader is not unknown - the man who gains satisfaction (for whatever motive) from concentrating the mood of a group out of formal control. He is the demagogue who, when things are at their height, knows how to melt into the anonymous crowd. This tactical flexibility can teach all leaders a useful lesson, and we must penetrate into the structure of behavior without prejudgment in order to understand.

[II-3] I_1 (5, 7)

Oratory was recognized as an important study in Ancient Greece and Rome - that is, the power to persuade people into certain beliefs and attitudes. It was reported of a Roman orator that in response to a wager he went into the market place one morning and persuaded everyone that patricide was right. In the afternoon he returned to convince everybody that it was wrong.

The focus of attention in the riot is action. The riot leader turns people's attention to action, not to himself. It is a case of the leader selling himself by means of the actions required.

Is either of the two items of central significance? Item five is certainly arguable, but remember that the riot leader is not in the position to demonstrate "appropriate qualities"; he has to persuade people before the action starts and they are never in a position to assess the validity of his words!

[II-4] I_1 (2, 12, 20)

There is a very thin dividing line between the need for self-respect and egotism ("what I want I take," "what I think is real"). The leader has to tap one or the other in building up the force required for the riot to erupt. The riot leader as such is an agitator.

We can usefully study this passage from Eric Hoffer's *The True Believer*, where he is comparing mass movements and armies. "...both mass movements and armies are collective bodies; both strip the individual of his separateness and distinctness; both demand self-sacrifice, unquestioning obedience and single-hearted allegiance; both make extensive use of make-believe to promote daring and unified action..."But the differences are fundamental; an army is mainly an instrument devised for the preservation or expansion of an established order - old or new. It is a temporary instrument that can be assembled and taken apart at will. The mass movement, on the other hand, seems an instrument of eternity....The army is an instrument for bolstering, protecting and expanding the present. The mass movement comes to destroy the present... When a mass movement begins to be pre-occupied with the present, it means that it has arrived. It ceases then to be a movement and becomes an institutionalized organization.."

What is at the heart of the mass movement but an inversion of people's sense of personal values into values that can be realized only in the future? In the process, the individual is no more. When the time is ripe, the leader has that power to fuse discontent into a violent hope for the millennium.

No more than two of items 2, 12, 20 are at all plausible for riot leadership. In such cases we go beyond the spasmodic accidental flare-up.

[II-5] O_1 (5, 7, 9)

To lead a riot, the leader has to sell himself as an embodiment of the proposed action. As we said in another comment, the riot leader can be seen as a slave to his followers. This situation is very informative: no leader can lead without followers and the followers play a powerful role in shaping the *relationship* that is called "leadership."

In the context of mass movement or revolution the power of the collective mass over the leader is immense. The concentration of collective power into an individual inverts our ordinary categories of thought: *the leader becomes the mood of the people.*

[II-6] I_1 (14, 22)

Any of these items can be accepted, but only as peripheral elements. A striking phenomenon in riot leadership is the transition from authoritarian to laissez-faire leadership. In the build-up phase, the leader may be stern and commanding but beyond a certain point in the action "anything goes" and only guns and police have any effect.

[II-7] I_1 (1, 13)

Every leader can be said to influence the behavior of a group. But we can equally well say that the group influences the behavior of the leader. Otherwise, there would be no relationship between them. The point is that the influences in the two cases are not of the same kind. The leader - even the riot leader - looks ahead with intention; whereas the followers are more unconscious. Be careful, however, not to assume that we are comparing individuals, the one "leader," the other "follower." We are attending only to their distinctive *roles* in the relationship of leadership.

Beyond a certain point, the riot leader has no influence on the behavior of the group. The notion of such influence does not belong, we think, to the central features of the riot leader.

[II-8] O_1 (17, 20)

No one could find fault with you for leaving out one or both of these items. But consider the following ideas.

It is in the mass movement that we best see examples of *charismatic leadership*. In this respect, leaders of mass movements share much in common with powerful political leaders of established and respected position. General de Gaulle, for instance, has referred to himself as a possessor of *baraka*- 'baraka' being an Arabic word denoting the possession of a substance which gives power over events and people. Something is involved in mass movement leadership, and even minor riot leadership, of concentrating the power released by the degeneration of people into a collective mass. Beyond a certain point, the leader is no longer simply *emergent*, he has attained that state of charisma which puts him outside the normal considerations of formal and informal leadership.

BEFORE YOU TURN TO PAGE 29 TO STUDY THE INTERPRETATION, FINALIZE YOUR RESPONSE, REMEMBERING TO USE NOT MORE THAN 10 OF THE 24 RESPONSE ITEMS.

AN INTERPRETATION

We give you a resume of the thinking incorporated in the Discussion Comments. Notice that we use fewer than 10 items. This is largely because the situation of riot leadership is less well defined than that of management or military leadership. Compare your final response with what is written below, and note points of disagreement. The Discussion Comments argued for the following response selection:

items 1, 4, 5, 7, 9, 20, 21

The items are grouped according to the same criteria as stated in Interpretation I.

Include 4)
Omit 3)
The riot leader is opportunist. He emerges out of an ill-defined situation.

Include 5, 7, 9)
Omit 6, 11, 13)
The riot leader leads by virtue of his personality and appeal. He cashes in on the mood of people.

Include 1, 20, 21)
Omit 2,24)
Riot leadership is very much an in-group thing. That is to say, it operates in terms of norms which are real for members of the group, but not accepted by society at large. Just as an individual can be weak in testing the reality of his ideas and attitudes, so can groups.

Optional
Include 8,10,12)
18)
Rioting can be superseded by military-type operations which require coordination and control. The many instances of civilian resistance to military occupation also come under this heading, since communication is vitally important.

If you have more than three disagreements with us, we would like to emphasize a few points.

The riot leader emerges from a situation, and is largely governed by informal group mechanisms. When control and coordination become important, the situation has gone over into military phase, and different criteria apply.

Make a note of points of disagreement you still believe to be valid as in Problem I.
i.e., "I (x) because....." or "O (y) because....."

CONCEPT OF LEADERSHIP

Module Three: Naval Leadership

MODULE THREE

Finally, we come to naval leadership. We know that military leadership overlaps with non-military leadership at several points. But we have to ask ourselves what is especially characteristic of the military (Naval) leader. If you examine the RESPONSE INDICATOR carefully, you will find items which distinctively apply to the military leader. You may wish to add certain supportive items to feel satisfied in your own mind that you have built up a well-based and reasoned evaluation. If this is the case, then do so. When you have finished making your assessment, you should have a number of key items surrounded by other items which serve to explain the significance of these key items you have selected.

You may be tempted to include nearly every item from the RESPONSE INDICATOR. Nevertheless, keep within the limits of 10 items, and choose those which are, in your view, most important.

REFER TO THE RESPONSE INDICATOR AND MAKE YOUR SELECTIONS ACCORDING TO THE PROCEDURE ESTABLISHED, BEFORE YOU TURN TO PAGE 32.

DISCUSSION

[III-1] I_5 (4, 5, 7, 13, 14, 17, 20, 22)

Your response reads as an interpretation which looks towards the *leader* in the triad leader-group-situation. The naval officer is a two-fold being: on the one hand, a highly trained person; and on the other, a nodal point in the chain of command. While formal training can produce a man who knows the rules, it will not produce a man capable of the adaptiveness and initiative required to fulfill the Navy's mission. The structure and unity of command has to be renewed at every nodal point (every officer), else disorder and reaction set in. Thus the officer has to link himself with his men: the quality of his *leadership* is integrally connected with the quality of their *followership*, and he cannot regard himself as an autonomous self-contained person, who, by his own personal abilities can provide the leadership the Navy requires. Leadership is not a distant autocracy, but a complex involvement. The difference between an officer and his subordinates has its origin in the greater burden of responsibility he assumes in taking up his role.

Have you looked closely enough at the components of leadership other than the leader himself?

[III-2] I_4 (2, 4, 6, 8, 9, 11, 21)

Your response reads as an interpretation which looks towards the *group* in the triad: leader-group-situation. We can consider the group members both as disciplined in fellowship and as members of a group-dynamical situation. In either case, there are certain needs to be met and certain patterns of behavior are likely to emerge showing weaknesses in the leader. The needs are for self-respect and a sense of worthwhileness. The patterns are responsiveness to persuasion and the pressure from the group exerted on the leader according to the activity and mood of the moment. We speak of the group, but every naval officer is himself a follower, and the reciprocity of the leadership relationship is one of the most important features of an hierarchical organization such as the Navy. The naval officer must learn how to obey in order to command.

However, would you verify that you have looked deeply enough into the other components of leadership besides the group?

[III-3] O_1 (5, 6, 9)

A fundamental principle is that the behavior of the leader should be related to what his followers have to do. The naval officer should recognize that obedience is required for the safety of all in times of combat, and is crucial to morale and discipline. At the same time, unlike the civilian manager, he can be involved in all the affairs of his men. This is what Vice Admiral L. Hewlett Thebaud (*NavPers* 10010) had to say:

"The responsibility carried by officers and petty officers is very real and is ever-present. Not only must they see to the care, maintenance, and the perfect operating conditions of the guns, radars, boilers, engines, etc. in their custody, but it is they who are constantly concerned with the training, efficiency, discipline, and morale of the men who operate such equipment. *Even more demanding of officers and petty officers is their responsibility for the personal welfare of the men they are honored to command.* It is on the officers that men must rely for their food, clothing, bedding, a place to sleep, sanitation, the cleanliness of their quarters, bathing arrangements, recreation, liberty, leave, and pay. It is the officers to whom they must turn for guidance, training, advice, orders, and for the courage to make decisions, for the courage to assume and bear the consequences of authority." The variety of situations, the variety of problems, demand, a flexibility of approach.

We can quote Commander W. J. Ruhe, U.S. Navy (JAG Journal):

"Because the difference in educational level between enlisted men and officers is becoming increasingly less, it is logical to use a more democratic approach for everyday tasks. There is a demand for the structured leader of the Navy to exert his human relations skills to get the maximum performance from its people. High motivation is gained through this democratic approach. However, at the same time there must be a conditioning of the men to insure that an order, when received from a higher echelon of authority, is obeyed immediately and without question. This authoritarian approach in getting a job done is at the opposite pole from the democratic approach. Here authority stems from the structure and is not necessarily related to reason, yet the echelons of authority must be realized and obeyed."

[III-3 Contd.]

An important thing to realize concerning the exercise of responsibility is that no officer can be responsible on his subordinates' behalf effectively unless he himself embodies the qualities which he expects and demands of them. This can extend into even technical matters. If the officer is out of touch with the expertise required of his subordinates, a weakness in command is inevitable. This raises problems in the modern Navy of an equivalent though not identical kind to those involved in technological management.

[III-4] O_2 (3, 11, 13, 15, 23)

We comment here simply with some quotes from Commander A. Mason Harlow, U.S. Naval Reserve (*U.S. Naval Institute Proceedings*, November 1950).

"Now we must consider the third kind of leader, the one who is appointed. Instantly we can see the large gap between him and the other two, who use personal methods. There is nothing personal at all in the selection of the appointed leader. He may or may not personally want the job, his followers may or may not personally want him to have it. But because both he and they are members of the same organization, their relationship can be and is dictated by the organization itself. The fact that neither the leader nor the group he leads has anything to say about it, has implications we are just now beginning to realize. For the appointed leader, first of all, governs his every word and act, indeed his every thought, according to the demands of the institution that appointed him. His leadership practices are always based on what can be labelled the *institutional* method.

"We should all afford the time to investigate the institutional method, for it is of prime significance to officers in the Navy. They may not have fully realized that they are institutional leaders, but it is so. It has remained for the social psychologist to point out that fact and to tell us what an institution is and how it got that way. It is obvious that by understanding the principles upon which all institutions rest people can become better leaders when they take their places in that kind of social structure. And the Navy is about the best example of a sociological institution that can be found.

"Many of the customs of an institution, and indeed much of its ideology, pertain to a fourth characteristic common to them all. Like all institutional practices, this one also is based on human nature - in this case, man's emotions. Inherent in all institutions, particularly in the more elaborate and highly organized kind, are ceremonies and rituals. A ceremony, the outward sign of participation in an institution, provides a common outlet for the release of emotional tensions. The Church surrounds the principal emotional events of life - baptism, marriage, worship and death - with rituals that permit the overflow of emotion into action. Schools may hold impressive baccalaureate services on the Sunday before the seniors graduate, and certainly the actual ceremonies for presenting diplomas are designed with at least one eye on their emotional effect.

[III-4 Contd.]

"The last characteristic of an institution which we shall discuss here brings us directly back to leadership. The leaders of an institution are *appointed*. They invariably have membership within the group, but they are neither elected nor do they push their way to the top. They, therefore, do not rely primarily upon persuasion as does the elected leader, nor do they attempt or need to dominate their groups completely, as must the self-chosen. They are appointed from within the institution by senior members of the institution; they are going to lead only members of the institution. They must first of all use institutional methods in their leadership.

"It was largely ignorance of the sociological factors involved in institutional society that caused what few leadership failures there were in the armed forces during World War II. The little indoctrination there was time for could not go into reasons, *psychological* reasons. Officer-candidates were told what to do; the *why* was left unmentioned. It is, to be sure, not customary in military organizations to explain the necessity for carrying out any specific instructions. On the other hand, if the psychological reasons for some of the rules could have been brought out, there would not have been, in the years immediately following, the number of disgruntled ex-servicemen writing letters and speaking out about 'officers' privileges,' 'the caste system,' and the general 'we were robbed.'

"We need dwell no longer on the officer who leads, or attempts to lead, purely by the personal methods of persuasion or dominance. 'But,' the objection may be, 'the officer who acts only according to the book, always a cold fish and never showing he is human, who is always thinking only of making his number - he is little likely to provide the dynamic spark so often demanded. He can keep himself, and possibly his men, out of trouble, but who wants him around in command when the shooting starts?'

"And there is *the* leadership question: Can the institutional leader, knowing and following all the rules in the book, also show the spark of inspiration that will ignite the flame of greatness smouldering in his men? So now it remains to ponder the effectiveness of the leader who, the skeptics insist, resembles not so much a flesh-and-blood human being as a machine."

[III-5] I_2 (2, 12, 20)

Your response would seem to be supported by this quote from *The Armed Forces Officer.:*

"Every man in the service has an inalienable right to work and to think in the clear. He is entitled to the why and the wherefore of whatever he is expected to do, as well as the what and the how. His efficiency, his confidence and his enthusiasm will wax strong in almost the precise measure that his superior imparts to him everything he knows about a duty which can be of possible benefit to the man. Furthermore, this is a two-way current. Any officer who believes in the importance of giving full information in a straightforward manner, and continues to act on that principle, will, over the long run, get back more than he gives. But the chump who incontinently brushes off his subordinates because he thinks his time is too valuable to spend any great part of it putting them on the right track dooms himself to work in a vacuum. He is soon spotted for what he is, and if his superiors can't set him straight, they will shrug him aside."

The need for adequate communication is thrown into relief in the military situation, but it applies equally strongly to managerial leadership. When subordinates are poorly informed, organization breaks down and waste and frustration inevitable result. It is easier - largely because of the day to day proximity between officers and men - for the naval officer to keep his men informed than for the manager to do the same for his subordinates. In management there is relatively little tradition or formal system of communication, and without these, individuals tend to forget their responsibility to keep those who work for them informed.

[III-6] O_1 (18, 19, 24)

We comment by quoting from Vice Admiral L. Hewlett Thebaud (*NavPers* 10010):

"High spirited young Americans who enlist in the Navy do not by nature take kindly to the constant 'Thou shalts' and 'Thou shalt nots' without which men cannot, regrettably, be made to live in an orderly manner in the super-complexity which is a ship of war. Hence, unfortunately, there must be some compulsion, there must be recognition of the fact that men largely are influenced by two considerations: the hope of reward (by far the most important) and the fear of punishment. There must be constant supervision by a host of officers and petty officers to insure literally a place for every man and every thing, with every man in his job and doing it well, and every thing in its place and ready for instant use."

These words must be set in context. The authority of any officer depends on the larger authority to which he is subservient. He can call on this higher authority to deal with breaches of discipline (the Captain holding masts) and is, at the same time, subject to assessment and correction by that authority. Because the officer is vulnerable, he is kept on his toes!

[III-7] O_1 (14, 15)

You should refer to the previous comment. The officer is an "image" of his superiors and so ultimately represents the unity of Naval Command. This entails more than using the right words. It involves demonstrating the norm by actual behavior during his waking hours.

[III-8] O (17)

The core of the Navy is its mission in the defense of certain social ideals and values. Human life is never simple. The connection between drill on a ship, Naval action, ideals and the actual state of affairs in society is sometimes very tenuous. This has created a certain tension in the modern Navy with large numbers of enlisted men entering from civilian life where questioning of values is becoming increasingly widespread. The task of the naval officer is not easy - current attitudes of mind do not look upon formal authoritarian institutions with favor. In a way, that makes the task more of a challenge - the officer has to be sure of his ground and able to convince others. But in the interest of constructing an objective prescription for military-leadership, you might tend to agree with Commander Richard H. Bowers (*U.S. Naval Institute Proceedings*, February 1954):

"As is unfortunately the case with most abstractions, the naked term 'leadership' is subject to manifold interpretations. Unhappily, the most prevalent connotation calls to mind world or nationally renowned heroes. The infectiousness of an inspiring commander-in-chief is lost, however, if not transmitted all the way to the very end of the line. Here, on the junior officer-enlisted echelon, the keystone of the entire military structure, is where real leadership, *working level* leadership, comes into play. It is an all day every day proposition - not something reserved for dramatic exhortation in hours of crisis. The guidance of large forces by a remote impersonal authority might more properly be referred to as 'motivation', leaving 'leadership' to connote the personal dealings between the individual enlisted man and his immediate senior. Within the realm of 'motivation' would fall appeal to grand emotions such as patriotism, religious fervor, hatred of an enemy, anxiety to vindicate past defeats, desire to uphold a force, fleet, corps, service or national reputation. Leadership, on the other hand, would cater to more humble workaday aspects of and influence on human behavior - ennui, fatigue, hunger, physical comfort, personal pride, and the like."

RESPONSE INDICATOR

CONCEPT OF LEADERSHIP

Use is made of the informal group structure in directing its behavior. 1	There is concern that each member of the group should be satisfied in his need for self respect. 2	The leader is appointed to his level of authority. 3	Members of the group follow a person who advocates or embodies group goals attractive to them. 4
The qualities required by members of the group in its tasks are exemplified in their leader. 5	The leader has responsibility for the well-being of his followers. 6	Group members must have confidence in the personal ability of their leader. 7	The leader must work at creating the right conditions for cooperation between group members to achieve group objectives. 8
According to what is required to accomplish the task, the personal behavior of the leader is adjusted. 9	The leader formulates objectives. 10	Followers are trained in procedures of obedience. 11	Part of the leader's work is to communicate objectives convincingly. 12
The leader commands the action of group members. 13	Standards of performance are set by the leader's personal example. 14	There are many levels of authority. 15	The leader organizes activities in accordance with a plan. 16
The leadership is a form of service that includes allegiance to higher goals. 17	Group activity is subject to checking and correction by the leader. 18	External authorities must give active support to the leader. 19	The leader must be able to establish a sense of the significance of assignment in group members. 20
Followers have visible standards and short-term objectives to help them focus their efforts. 21	The trust and belief of his followers depends on the innate qualities of the leader. 22	Leader and followers accept rules of conduct and ceremony. 23	The work of the leader is subject to external assessment. 24